



2697/18

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application No.	09/427,815	
	Filing Date	October 27, 1999	
	First Named Inventor	David P. Rossum	
	Group Art Unit	2697	
	Examiner Name	Graham, Andrew R.	
Total Number of Pages in This Submission	8	Attorney Docket Number	6407P134

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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">31 references cited on PTO/SB/08 and Postcard.</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	André L. Marais, Reg. No. 48,095 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	05/28/03

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Sarah M. Montgomery		
Signature		Date	May 28, 2003



FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

180.00

Complete if Known

Application Number 09/427,815
Filing Date October 27, 1999
First Named Inventor David P. Rossum
Examiner Name Graham, Andrew R.
Group/Art Unit 2697
Attorney Docket No. 6407P134

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METHOD OF PAYMENT (check one)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$)

2. EXTRA CLAIM FEES

Total Claims - 20** = X =
Independent Claims - 3 = X =
Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple Dependent claim, if not paid	
1204	84	2204	42	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

(\$)

**or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920 *	1804	920 *	Requesting publication of SIR prior to Examiner action	
1805	1,840 *	1805	1,840 *	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1404	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	1809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

180.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) André L. Marais
Registration No. (Attorney/Agent) 48,095
Telephone (408) 947-8200
Signature Date 05/28/03



Docket No.: 6407P134

7
stj
6/6/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

DAVID P. ROSSUM

Application No.: 09/427,815

Filed: October 27, 1999

For: **Sample Rate Converter Having Distributed Filtering**

Art Group: 2697

Examiner: Graham, Andrew R.

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

06/04/2003 MBELETE1 00000012 09427815

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180.00 0P

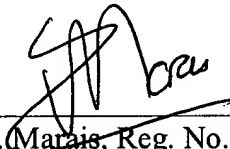
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

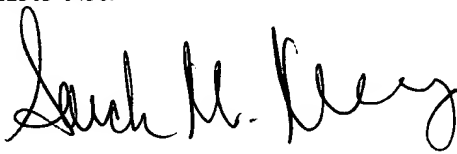
Date: 05/28/03



André L. Marais, Reg. No. 48,095

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(408) 947-8200

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Sarah M. Montgomery Date

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

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Application Number	09/427,815
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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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Examiner
Signature

Date	
Considered	

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¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet

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Complete if Known

Application Number	09/427,815
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First Named Inventor	David P. Rossum
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Attorney Docket Number	6407P134

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OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		UDO ZÖLZER, "Digital Audio Signal Processing", JOHN WILEY & SONS, Chapter 8, pg. 221-247, England.	
		JOAO M. DE CARVALHO and JOHN V. HANSON, "EFFICIENT SAMPLING RATE CONVERSION WITH CUBIC SPLINES", pgs. 19.5.1-19.5.4.	
		DAVE ROSSUM, "CONSTRAINT BASED AUDIO INTERPOLATORS", IEEE Workshop on Applications of Signal Processing to Audio and Acoustics, New Paltz, NY, 1993, 4 pages.	
		HAL CHAMBERLIN, "MUSICAL APPLICATIONS OF MICROPROCESSORS", Hayden Book Company, pg 515-525.	
		VAIDYANATHAN, "Multirate Systems and Filter Banks", pp 196-217, Chap. 5, "Maximally decimated filter banks".	
		TOR A. RAMSTAD, "Digital Two-Rate IIR and Hybrid IIR/FIR Filters for Sampling Rate Conversion", IEEE Transactions on Communications, Vol. COM-30, No. 7, pp. 1466-1476, July 1982.	
		G.T.H. WRIGHT and F.J. OWENS, "Optimum Design of a FIR Interpolating Filter for Converting Between Incommensurate Sampling Frequencies", Applied Signal Processing, 1994, 4 pages.	

Examiner Signature		Date Considered	
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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	09/427,815
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				Examiner Name	Graham, Andrew R.
				Attorney Docket Number	6407P134
Sheet	3	of	4		

OTHER ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T‡
		Y. MEDAN and U. SHVADRON, "ASYNCHRONOUS RATE CONVERSION", 1997 IEEE, pgs. 107-112.	
		JULIUS O. SMITH and PHIL GOSSETT, "A Flexible Sampling-Rate Conversion Method", Processing of ICCASP, 1984, Palo Alto, California, pp. 19.4.1-19.4.4.	
		TOR A. RAMSTAD, "SAMPLE-RATE CONVERSION BY ARBITRARY RATIOS", ICASSP, 1982, Norway, pgs. 101-104.	
		TOR A. RAMSTAD, "Digital Methods for Conversion Between Arbitrary Sampling Frequencies", IEEE TRANSACTIONS OF ACOUSTICS, SPEECH, AND SIGNAL PROCESSING, VOL. ASSP-32, NO. 3, JUNE 1984, pgs. 577-591.	
		TAPIO SARAMÄKI and TAPANI RITONIEMI, "AN EFFICIENT APPROACH FOR CONVERSION BETWEEN ARBITRARY SAMPLING FREQUENCIES", 1996 IEEE, pp. 285-288.	
		TAPIO SARAMÄKI and YRJÖ NEUVO, "EQUAL RIPPLE AMPLITUDE AND GROUP DELAY DIGITAL FILTERS FOR SAMPLING RATE ALTERATION", 1980 IEEE, pgs. 597-600.	
		TAPIO SARAMÄKI, "EFFICIENT RECURSIVE DIGITAL FILTERS FOR SAMPLING RATE CONVERSION", 1983 IEEE, Finland, pgs. 1322-1326.	

Examiner Signature		Date Considered	
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		N. S. VASANTHAVADA, "A Note on the Computational Efficiency of the FIR Multistage Implementations of Fractional Sampling Rate Conversion", IEEE TRANSACTIONS ON ACOUSTICS, SPEECH, AND SIGNAL PROCESSING, VOL. ASSP-33, NO. 2, APRIL 1985, pg. 475 and 477.	
		HÅKAN JOHANSSON AND LARS WANHAMMER, "TWO-STAGE POLYPHASE INTERPOLATORS AND DECIMATORS FOR SAMPLE RATE CONVERSIONS WITH PRIME NUMBERS", ref TBD, pgs. 1207-1210.	
		A. TARCZYNSKI, W. KOZINSKI and G. D. CAIN, " SAMPLING RATE CONVERSION USING FRACTIONAL-SAMPLE DELAY", 1994 IEEE, pgs. III-285-III-288.	
		J. JANSSEN, D. THERSSEN, ET AL., "A New Principle/IC for Audio Sampling Rate Conversion", 96th Convention Audio Engineering Society, 1994, 15 pages.	
		J.O. SMITH, "Adaptive Interpolated Time-Delay Estimation", pgs. 5-11.	
		TIMO I. LAAKSO, VESA VÄLIMÄKI, MATTI KARJALAINEN, and UNTO K. LAINE, "DIGITAL FILTER APPROXIMATION OF FRACTIONAL DELAY-A TUTORIAL REVIEW", IEEE Trans. on Speech and Audio Processing, March 18, 1993, pgs. 1-41 odd.	
		VESA VÄLIMÄKI, TIMO I. LAAKSO and JOHNATHAN MACKENZIE, "ELIMINATION OF TRANSIENTS IN TIME-VARYING ALLPASS FRACTIONAL DELAY FILTERS WITH APPLICATION TO DIGITAL WAVEGUIDE MODELING", pgs. 1-8, 43-57 odd.	

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